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1FW

September 1, 2004

To: Mail Stop Application Number
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

From: Stephen B. Ackerman

Subject: Serial No.: 10/727,201
Filing Date: 12/03/03
Inventor: J. M. Kang, et al
Title: Method of Fabricating Optical Waveguide Devices with Smooth
and Flat Dielectric Interfaces

REQUEST TO CORRECT FILING RECEIPT

Dear Sir:

On the copy of the enclosed Filing Receipt, there is an error in the Assignment for Published Patent Application field. The application is assigned to two companies. The second company was omitted in error. The "Assignment for Published Patent Application" field should read as follows:

Agency for Science, Technology, and Research;
Photonics Concepts Pte. Ltd.

Please make the necessary change to correct the error on the Filing Receipt. A copy of the filed Recordation Cover Sheet and Assignment are enclosed for clarification.

If there are any questions, please contact the undersigned attorney at (845) 452-5863. Thank you for your attention to this matter.

Respectfully Submitted,

Stephen B. Ackerman, Reg. No, 37,761



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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/727,201	12/03/2003	2874	1608	IME02-021	11	57	5

STEPHEN B. ACKERMAN
28 DAVIS AVENUE
POUGHKEEPSIE, NY 12603

CONFIRMATION NO. 5145

FILING RECEIPT



OC000000012109694

Date Mailed: 03/16/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Joon Mo Kang, Daejeon, KOREA, REPUBLIC OF;
My The Doan, Singapore, SINGAPORE;
Desmond R. Lim, Singapore, SINGAPORE;

Assignment For Published Patent Application

Agency For Science, Technology and Research;

Domestic Priority data as claimed by applicant

This appln claims benefit of 60/431,340 12/06/2002

Foreign Applications

If Required, Foreign Filing License Granted: 03/12/2004

Projected Publication Date: 06/24/2004

Non-Publication Request: No

Early Publication Request: No

Title

Method of fabricating optical waveguide devices with smooth and flat dielectric interfaces

Preliminary Class

385

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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NOT GRANTED

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Office

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PATENTS ONLY

IME02-021

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

JOON MO KANG, MY THE DOAN, DESMOND R.
LIMAdditional name(s) or conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ other _____Execution Date: 11/27/03

2. Name and address of receiving party(ies):

Name: Agency For Science, Technology And
Research

Internal Address:

Street Address:

11 Science Park Road #01-01/03
The Alpha,
Singapore Science Park II,
Singapore 117684Additional name(s) & address(es) attached? ☒ Yes
No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 11/27/03A. Patent Application No(s)B. Patent No.(s)Additional numbers attached? ☐ Yes ☒ No5. Name and address of party to whom correspondence
concerning document should be mailed:Name: GEORGE O. SAILE

Internal Address: _____

Street Address: 28 DAVIS AVENUECity: POUGHKEEPSIE State: NY ZIP: 126036. Total no. of applications and patents involved: 17. Total fee (37 CFR 3.41): \$ 40.00☐ Enclosed☒ Authorized to be charged to deposit acct.8. Deposit account number: 19-0033

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief the foregoing information is true and correct and any attached copy is a true copy
of the original documentSTEPHEN B. ACKERMAN

Name of Person Signing

Signature

Date

12/3/03

ADDITIONAL ASSIGNEE:

**Photonics Concepts Pte. Ltd.
21 Science Park Road
#03-17 The Aquarius
Singapore Science Park II
Singapore 117628**



For ☒ U.S. and/or ☒ Foreign Rights

For ☒ Application or ☐ U.S. Patent

By ☒ Inventor(s) or ☐ Present Owner

ASSIGNMENT OF INVENTION

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNOR:

JOON MO KANG

Type or print name of ASSIGNOR

#1503 Daewoo Topia Bldg, 1033
Danwon-Dong, Seo-Fu,
Daejeon 302-809, KOREA

KOREA

Nationality

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Type or print name of ASSIGNOR

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Address

CANADA

Nationality

DESMOND R. LIM

Type or print name of ASSIGNOR

16 WILMONAR AVE

Address

SINGAPORE 58804 & Singapore

SINGAPORE

Nationality

ASSIGNEE:

Agency For Science, Technology and Research
20 Biopolis Way
#07-01 Centros
Singapore 138668

Photonics Concepts Pte Ltd
21 Science Park Road,
#03-17 The Aquarius,
Singapore Science Park II,
Singapore 117628

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

☒ the entire right, title and interest

☐ an undivided _____ percent (____%) interest for the United States and its territorial possessions
(check the following box if foreign rights are also to be assigned)

☒ and in all foreign countries

In and to any and all improvements which are disclosed in the invention entitled:

Method Of Fabricating Optical Waveguide Devices With Smooth And Flat Dielectric Interfaces



and which is found in

- (a) ☒ U.S. patent application executed on even date herewith
(b) ☐ U.S. patent application executed on _____
(c) ☐ U.S. application serial no. _____ filed on _____
(d) ☐ U.S. patent no. _____ issued _____
(e) ☒ and any legal equivalent thereof in a foreign country, including the right to claim priority

(also check (e) if foreign application(s) is also being assigned)

and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute, thereof, and as to letters patent any re-issue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, I/We have signed this

2/11/03

(Date of signing)

WARNING Date of signing must be the same as the date of execution of the application if item (a) was checked above.

Jason Mo

Signature of ASSIGNOR(s)

My The

Desmond

If ASSIGNOR is a legal entity complete the following information

Type or print the name of the above person authorized to sign on behalf of ASSIGNOR

Title

Note: No witnessing, notarization or legalization is necessary, if the assignment is certified or legalized then it will only be prima facie evidence (35 USC 261). Use next page if notarization is desired.

Notarization or Legalization Page Added.